



264/237  
OI7010992001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:

Sanjay Kaluskar et al.

Serial No.: 10/086,277

Filed: February 28, 2002

For: **SYSTEMS AND METHODS FOR  
SHARING OF EXECUTION PLANS FOR  
SIMILAR DATABASE STATEMENTS**

)  
) **Group Art Unit: 2162**

)  
) **Examiner: Jean M. Corrielus**

)  
) **Confirmation No.: 2046**

**COMMENTS ON STATEMENT OF REASONS FOR ALLOWANCE AND  
REQUEST FOR INITIALED INFORMATION DISCLOSURE STATEMENT**

**Mail Stop Issue Fee**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**COMMENTS ON STATEMENT OF REASONS FOR ALLOWANCE**

Applicants wish to thank the Examiner for allowing the above-identified application. The Notice of Allowability included Reasons for Indicating Allowable Subject Matter which collectively identified reasons for allowance based upon specific limitations from certain claims. Applicants wish to clarify that the independent claims each includes element(s) and/or combination of elements that are different from other independent claims, and therefore, these claims and their respective dependent claims are allowable for what they recite.

**REQUEST FOR INITIALED IDS DOCUMENTS**

The Applicants submitted an Information Disclosure Statement on September 15, 2004. However, the Applicants have not yet received initialed copies of the forms PTO/SB/08a and

PTO/SB/08b submitted on that date. Attached hereto are copies of the Information Disclosure Statements, forms PTO/SB/08a and PTO/SB/08b, and the stamped return postcard indicating receipt by the USPTO on September 17, 2004. The Applicants hereby respectfully request that the references listed on forms PTO/SB/08a and PTO/SB/08b attached to the Information Disclosure Statement filed on September 15, 2004 be initialed to confirm consideration by the Examiner.

If the Examiner has any questions or comments, the Examiner is respectfully requested to contact the undersigned at the number listed below.

Respectfully submitted,

Bingham McCutchen LLP

Dated: \_\_\_\_\_

8/19/05

By: \_\_\_\_\_

Peter C. Mei  
Reg. No. 39,768

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COPY

First Class Mail

Date Mailed:

September 15, 2004

Serial No.:

10/086,277

Applicant(s):

Sanjay Kaluskar et al.

Title:

SYSTEMS AND METHODS FOR SHARING OF EXECUTION  
PLANS FOR SIMILAR DATABASE STATEMENTS

Atty. Docket No.:

264/237; 017010992001

Date Due:

September 24, 2004

Filing Date:

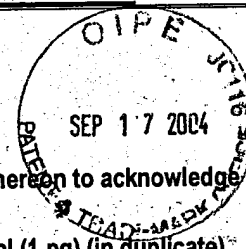
February 28, 2002

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Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

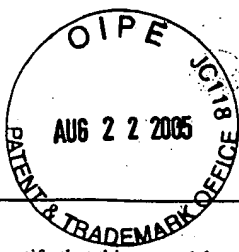


SIR: Please place the U.S. Patent and Trademark Office date stamp hereon to acknowledge receipt of the following:

1. Return Postcard
2. Transmittal Form (1 pg)
3. Amendment and Response (16 pgs)
4. Formal drawings (7 sheets - resubmitted)
5. Fee Transmittal (1 pg) (in duplicate)
6. IDS (3 pgs); SB/08a & b (2 pgs); 10 references.

PA/52141276/2021039-7010992001/OID-2001-046-01

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COPY

PATENT  
Docket No. 264/237

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

[X] I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date indicated below with sufficient postage as First Class Mail in an envelope addressed to MAIL STOP AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit: September 15, 2004

Signature of Person Certifying: *Nancy L. Hug*

Printed Name: Nancy L. Hug

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Sanjay Kaluskar, et al.

Serial No.: 10/086,277

Filed: February 28 2002

For: SYSTEMS AND METHODS FOR  
SHARING OF EXECUTION PLANS FOR  
SIMILAR DATABASE STATEMENTS

Group Art Unit: 2172

Examiner: Jean H. Corrielus

INFORMATION DISCLOSURE STATEMENT

MAIL STOP AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached formS PTO/SB/08a and 08b. Copies of the cited references are enclosed.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicants is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicants as such.

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INFORMATION DISCLOSURE STATEMENT FILING PROVISION:

☐ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d) or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☒ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office Action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

☒ The fee due under 37 CFR § 1.17(p) is submitted herewith.

☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

☐ This IDS is being submitted under 37 CFR § 1.97(i), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee.

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STATEMENT UNDER 37 CFR § 1.97(e):

- ☐ Each item contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- ☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

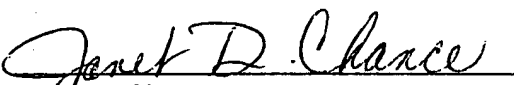
PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:

- ☐ A check in the amount of \_\_\_\_\_ is enclosed for the above fee(s).
- ☒ The Commissioner is authorized to charge the fee due under 37 CFR § 1.17(p) and to credit any overpayment and to charge any underpayment to Bingham McCutchen's Deposit Account No. 50-2518, referencing billing no. 7010992001, for any fees required by the filing of these papers.

Respectfully submitted,

Dated: September 15, 2004

By:

  
Janet D. Chance  
Reg. No. 55,048

BINGHAM McCUTCHEN LLP  
Three Embarcadero, Suite 1800  
San Francisco, CA 94111-4067  
Telephone: (650) 849-4400  
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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**(Use as many sheets as necessary)**

Sheet	1	of	2
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**Complete if Known**

<b>Application Number</b>	<b>10/086,177</b>
<b>Filing Date</b>	<b>February 28, 2002</b>
<b>First Named Inventor</b>	<b>Sanjay Kaluskar</b>
<b>Art Unit</b>	<b>2172</b>
<b>Examiner Name</b>	<b>Jean H. Corrielus</b>
<b>Attorney Docket Number</b>	<b>264/237</b>

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner  
Signature**

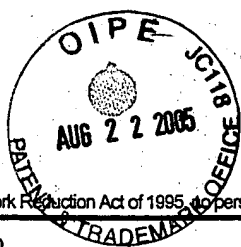
Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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52141134/2021039-7010992001/OID 2001-046-01



PTO/SB/08b(08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	10/086,177
Filing Date	February 28, 2002
First Named Inventor	Sanjay Kaluskar
Art Unit	2172
Examiner Name	Jean H. Corielus
Attorney Docket Number	264/237

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	2.	BATORY, DON, et al., "The Design and Implementation of Hierarchical Software Systems with Reusable Components," ACM Transactions on Software Engineering and Methodology, (October 1992), pp. 355-398, Vol. 1, No. 4.	
	3.	GRAEFE, GOETZ, "Query Evaluation Techniques for Large Databases," ACM Computing Surveys, (June 1993), pp. 73-170, Vol. 25, No. 2.	
	4.	HINDMARSH, JON, et al., "Fragmented Interaction: Establishing mutual orientation in virtual environments," Proceedings of the 1998 ACM conference on Computer supported cooperative work, (November 1998), pp. 217-226.	
	5.	MICHAEL, MAGED M., "High Performance Dynamic Lock-Free Hash Tables and List-Based Sets," Proceedings of the fourteenth annual ACM symposium on Parallel algorithms and architectures (August 2002), pp. 73-82.	
	6.	MICHAEL, MAGED M., "Safe Memory Reclamation for Dynamic Lock-Free Objects Using Atomic Reads and Writes," Proceedings of the twenty-first annual symposium on Principles of distributed computing (July 2002), pp. 21-30.	
	7.	RAMDUNY, DEVINA, et al., "Exploring the design space for notification servers," Proceedings of the 1998 ACM conference on Computer supported cooperative work, (1998), pp. 227-236.	
	8.	VIERA, HUMBERTO, et al., "XVerter: Querying XML Data with OR-DBMS," Proceedings of the fifth ACM International workshop on Web Information and data management, (November 2003), pp. 37-44.	
	9.	ZHU, YALI, et al., "Dynamic Plan Migration for Continuous Queries Over Data Streams," SIGMOD Conference (2004), pp. 431-442.	
	10.	Anonymous, "Oracle 8i Designing and Tuning for Performance," Release 2 (8.1.6), (December 1999), Chapter 19, pp. 12-18; <a href="http://download-west.oracle.com/docs/cd/A81042_01DOC/server.816/a76992/ch19_mem.htm">http://download-west.oracle.com/docs/cd/A81042_01DOC/server.816/a76992/ch19_mem.htm</a> and Chapter 127, pp. 28, <a href="http://download-west.oracle.com/docs/cd/A81042_01DOC/server.816/a76961/ch127.htm">http://download-west.oracle.com/docs/cd/A81042_01DOC/server.816/a76961/ch127.htm</a> .	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.96. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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